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FACSIMILE COVER SHEET

JUN 10 2005

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TOTAL NUMBER OF PAGES BEING SENT (INCLUDING COVER SHEET): 4

☐ Original documents to follow by mail☒ No originals will be sent

DATE: June 10, 2005

TO: Examiner Jose A. Fortuna
Group Art Unit: 1731

FAX #: 703-872-9306

PHONE #: 571-272-

Application No.: 09/874,434
Applicant: ZHONG et al.
Due Date: None

OUR REF.: 3275.30US01

FROM: Peter S. Dardi, Ph.D.
PHONE #: (612) 349-5746

Attached please find the following document for filing in the above-identified patent application:

- 1) Fee Address Indication Form (1 page)
- 2) Certificate Under 3.73(b) (2 pages)

Sincerely,

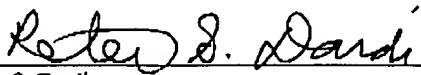


Peter S. Dardi, Ph.D.
Reg. No. 39,650

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office, Fax No. 703-872-9306 on the date shown below thereby constituting filing of same.

June 10, 2005
Date


Peter S. Dardi

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Application No. 09/874,434

"FEE ADDRESS" INDICATION FORM**RECEIVED
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Address to:
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P.O. Box 1450
Alexandria, VA 22313-1450

Please recognize as the "Fee Address" under the provisions of 37 CFR 1.363 the following address:

Customer No. 24113
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in the following listed application(s) for which the Issue Fee has been paid or patent(s).

PATENT NUMBER
6,705,124

APPLICATION NUMBER
09/874,434

(check one)

- ☒ Applicant/Inventor
☐ Assignee of record of the entire interest
☐ Attorney or agent of record - Reg. No. 39,650
☐ Assignment recorded at Reel _____ Frame _____

Date: 3/18/05

Signature

Timothy S. Jenks

Name Printed or Typed

CEO, Lightwave Microsystems

Title

12

JUN 10 2005

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Attorney Docket No.: 3275.30US01

ZHONG et al.

Confirmation No. 5827

Application No.: 09/874,434

Examiner: Jose A. Fortuna

Filed: June 4, 2001

Group Art Unit: 1731

For: METHOD AND SYSTEM FOR A HIGH-DENSITY PLASMA DEPOSITION
PROCESS FOR FABRICATING A TOP CLAD FOR PLANAR LIGHTWAVE
CIRCUIT DEVICES

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Lightwave Microsystems Corporation, a corporation, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 011882, Frame 0013, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From _____ to _____

The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____ or for which a copy thereof is attached.

2. From _____ to _____

Application No. 09/874,434

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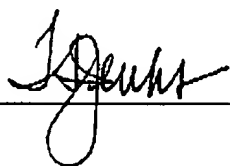
The document was recorded in the Patent and Trademark
Office at Reel _____, Frame _____ or for which a copy
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this
statement on behalf of the assignee.

Date: 5/17/05



Signature

Name Printed or Typed Timothy S. Jenks
President and CEO
NeoPhotonics Corporation

Title